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| Substitute Form PTO-1449 (Modified) | U.S. Department of Commerce Patent and Trademark Office | Attorney's Docket No. 08575-046001 | Application No. 09/346,195 |
| Information Disclosure Statement by Applicant (Use several sheets if necessary) | | Applicant Xuehai En et al. | |
| | | Filing Date July 1, 1999 | Group Art Unit 2761 |
| (37 CFR §1.98(b)) | | | |

U.S. Patent Documents

| Examiner Initial | Desig. ID | Patent Number | Issue Date | Patentee | Class | Subclass | Filing Date If Appropriate |
|------------------|-----------|---------------|------------|----------|-------|----------|----------------------------|
| | AA | | | | | | |
| | AB | | | | | | |
| | AC | | | | | | |
| | AD | | | | | | |
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| | AI | | | | | | |
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| | AK | | | | | | |

**Foreign Patent Documents or Published Foreign Patent Applications**

| Examiner Initial | Desig. ID | Document Number | Publication Date | Country or Patent Office | Class | Subclass | Translation | |
|------------------|-----------|-----------------|------------------|--------------------------|-------|----------|-------------|----|
| | | | | | | | Yes | No |
| | AL | | | | | | | |
| | AM | | | | | | | |
| | AN | | | | | | | |
| | AO | | | | | | | |
| | AP | | | | | | | |

Other Documents (include Author, Title, Date, and Place of Publication)

| Examiner Initial | Desig. ID | Document |
|------------------|-----------|--|
| | AQ | Elton et al., The Persistence of Risk-Adjusted Mutual Fund Performance, Journal of Business 69:133-157, 1996 |
| | AR | |
| | AS | |
| | AT | |

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| Examiner Signature /Richard Weisberger/ | Date Considered 7/18/2007 |
| EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. | |

Substitute Disclosure Form (PTO-1449)

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH /R.W./